Missouri State Library
Office of the Secretary of State

Library Services and Technology Act
Federal Grant Program

Library Technology Enhancement
Automation Grant

Fall 2006

**Missouri Five-Year State Plan
For the Use of
Library Services and Technology Act (LSTA) Funds
Fiscal Years 2003 - 2008**

Definitions:

A.   A <u>public library</u> is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.

B.   A public elementary school or secondary <u>school library</u> is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.

C.   An <u>academic library</u> is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.

D.   A <u>special library</u> is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.

E.   A <u>library consortium</u> is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

Reprinted from State Plan submitted July 31, 2002

Missouri State Library
Library Technology Enhancement Automation Grant
Information & Guidelines

Fall 2006

Grant Program Description

This grant program provides funding for public libraries eligible to receive state aid to purchase and install a new integrated online library system.

The State Library is currently funding a program to promote resource sharing among Missouri libraries – "Show-Me The World." As part of this effort, grants for library automation are being offered to help make collections more accessible, both to local patrons and library users statewide. This grant program funds purchase of hardware and software for a new integrated online library system. This allows the library to make its bibliographic records available to the public via keyword, author, title or other type of automated search, to track circulation (check-in/check-out) and to create, edit and delete records in the online catalog.

Grant Priorities

The following are key elements that will be used to determine what priority for funding a grant application will receive under this program:

- **Libraries that are automating for the first time.**
- **Libraries that have not previously received an automation grant from the State Library**
- **Importance of automating access to the collection.** The proposal must demonstrate the needs that will be met by implementing an integrated online library system and what value or benefit will accrue to the citizens of Missouri and other patrons by making the library's collection searchable via a local online catalog and also via OCLC's WorldCat/Missouri Group Catalog. It is important to demonstrate what demand exists already for the library's collection.
- **Project Description:** Clarity and completeness of project description; choice of appropriate methods to accomplish project.
- **Staffing:** Capacity and capability of library staff to accomplish project.
- **Timeline:** Ability to finish project in projected timetable.
- **Budget:** Appropriateness of budget to project description.

Eligibility

Public libraries that currently receive state aid.

Program Requirements:

- Library agrees to participate in the Missouri Group Catalog project by providing bibliographic records in USMARC format and following procedures for the retrospective and ongoing addition of these records to the OCLC WorldCat database.

- Library must be willing to participate in statistical information gathering and other surveys to measure the effectiveness of this project.
- Library must be able to provide documentation of output measures such as searches done on a project database or Web page.
- Library agrees to maintain records of expenses as required by the State Library to and preserve records for audit.
- Library receives, or is eligible to receive, state aid.
- Library provides or agrees to provide interlibrary loan services (both borrowing and lending) to patrons and other Missouri Libraries via the OCLC Interlibrary Loan subsystem.
- Library provides or agrees to provide public access via FirstSearch to the Missouri Group Catalog.
- Library participates in or has applied for participation in the REAL project, or has an Internet connection.
- Library provides a minimum of 20 hours of service to the community at each service point (excluding bookmobiles).
- Library has, or will develop, a written technology plan.
- Library agrees to file the statistical report form supplied by the State Library.
- Library agrees to maintain records of expenses as required by the State Library to and preserve records for audit.
- Library agrees to maintain adequate property records and an up-to-date inventory of all property used on the grant.

Available funds
There is no limit on the amount of funds that may be requested. The State Library may decide to award a grant request in full or in part subject to funding availability and program priorities.

Local Match
A twenty-five percent (25%) match is required for libraries not previously automated. A fifty percent (50%) match is required for libraries that are upgrading an old automation system or migrating to a new automation system.

Allowable and Unallowable Costs
Allowable expenses include, but are not limited to:
- Software licenses
- Computer workstations
- Servers
- Peripheral devices, such as printers and barcode scanners
- Training
- Cable
- Hubs, routers, switches and other local area network devices
- Barcodes for the existing collection

Unallowable expenses include, but are not limited to:
- Library furnishings
- Remodeling to accommodate library automation systems
- Installation costs for inside wiring or cabling
- Supplies such as printer paper, ink cartridges, or toner.
- System maintenance costs or annual software license renewals.
- Administrative overhead" or indirect costs.
- Subscriptions to bibliographic databases (i.e., licensed sources of MARC records)**.**
- Existing staff costs**.**
- On-going operating costs, such as monthly Internet Service Provider (ISP) fees

Large Purchase Documentation: If your grant request requires procurement of a large dollar item, then a competitive bid process may be necessary. For items over an amount specified in your procurement guidelines (example-Missouri State Library's specified amount is $3,000), you will need to document your bid process used for the purchase. Informal methods of requesting competitive bids are: fax bids; telephone bids; catalog comparison; or, e-mail bids. Documentation can be in the form of a list stating names of the vendors, date of bid requests, and amount of bids. Any questions regarding this process can be addressed to Diana Very, LSTA Grant Officer, 573-526-1256.

Application Review Process
- Grant applications must be postmarked by October 5, 2006.
- Only complete applications from eligible public libraries will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff. Final recommendations will be made by the State Librarian to the Secretary of State, who will make the final decision.
- Libraries will be notified by mail if their application is approved.
- No grant funds may be encumbered or expended until the grant agreement has been fully executed by library representatives, the State Librarian, and the Executive Deputy Secretary of State.

Grant Monitoring
According to Federal Regulations 45CFR1183.40, revised October 1, 2004, *"grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities. Grantees must monitor grant and subgrant supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. Grantee monitoring must cover each program, function, or activity."*

In an effort to comply with the Federal Regulations, Missouri State Library staff will monitor and report program performance on awarded LSTA grants. This will be accomplished by site visits, interim reports, or phone calls.

Grant program timeline
Deadlines apply to the Fall 2006 Library Technology Enhancement Automation Grant.

October 5, 2006	--	Applications due (postmark date)
January 1, 2007	--	Approximate beginning date of grant period.
December 31, 2007	--	Ending date of grant period; all funds must be encumbered.
January 31, 2007	--	Final report due to State Library; all funds should be spent.

Reporting Requirements
Grantees must submit three quarterly interim reports during the grant period and one final report after the project is completed and all grant funds have been expended.

Before you apply:
Determine if your library's cash flow is adequate to meet the following terms and conditions of this grant, should it be awarded:

1) <u>How payments are made:</u>
   - If the grant award is less than $20,000, two payments will be made: 70% upon completion of the final executed agreement and 30% after the project is completed, all grant funds are expended and the Final Report is received.
   - If the grant award is equal to or greater than $20,000, three payments will be made: 35% upon execution of the grant agreement; 35% after receipt of the Second Interim Report and Second Application for Payment, and 30% after the project is completed, all grant funds are expended and the Final Report is received.

2) <u>Grantee's Responsibility for Project Expenses:</u>
   - It is the grantee's responsibility to have sufficient funds on hand, whether from local sources or from the grant, to pay project expenses in a timely manner, ***without having to wait for a grant payment***.
   - Grantees with cash flow issues are advised to work out payment arrangements with vendors in advance, if they must wait for a final grant payment to complete all vendor payments.

3) <u>Disbursement of funds by grantee.</u>
   Federal regulations require the grantee to expend (disburse) all grant payments within a reasonable time period of their receipt – generally up to 30 days. Failure to do so risks default of the grant funds to the State Library.

How to apply?
1. Identify needs that a library automation system will meet and plan how you would implement an automation project.
2. Decide what staff persons will be working on the project.
3. Get estimates from at least three automation software vendors and make a selection.

4. Estimate the amounts of federal and local funds you will need.
5. Complete the application form and return on or before the deadline.

Where do I apply?
Completed application forms should be sent to the address below. Applications must include original signatures in blue ink.

Applications may not be submitted by fax.

> ***Mail completed application forms to:***
> Diana Very, Library Consultant/LSTA Grants Officer
> LSTA Grant Application
> Missouri State Library
> 600 West Main Street, P.O. Box 387
> Jefferson City, MO 65102-0387

For further information on guidelines or eligible costs, contact:

Carl Wingo, Consultant for Technology and Digitization Services
Library Development Division, Missouri State Library
600 West Main Street, P.O. Box 387
Jefferson City MO 65102-0387
Phone 573-751-1822 or (in Missouri) 1-800-325-0131 ext. 9.
E-mail: <Carl.Wingo@sos.mo.gov>

CIPA COMPLIANCE

In deciding whether to apply for any LSTA-funded grant, libraries should be aware that accepting such a grant might trigger an obligation to comply with the Federal Children's Internet Protection Act (CIPA). Whether CIPA is triggered will depend on the specific use of the LSTA funds awarded. If triggered, CIPA will require a grant recipient to certify that it has in place a policy of Internet safety that includes the operation of a technology protection measure (filter) with respect to any of the recipient's computers with Internet access. The nature of the certification depends upon the type of library making application.

Computer Minimum Specifications

Desktop PC: Minimum specifications:
Pentium 4 processor;
1 GB SDRAM;
40 GB Hard drive;
19" conventional or flat panel monitor;
CD-Rom/DVD-Rom drive (networked

Laptop PC: Minimum specifications:
Pentium 4 processor;
1 GB MB SDRAM;
30 GB Hard drive;
CD-Rom/DVD-Rom drive; (networkable and wireless capable)

Lab Server: Minimum specifications:
Pentium 4 processor;
2 GB SDRAM;
80 GB hard drive;
19 inch monitor;
rewritable CD-Rom/DVD-Rom drive.

MISSOURI STATE LIBRARY
LSTA Grant Program
Library Technology Enhancement Automation Grant
Application Instructions
Fall 2006

Please call Diana Very, LSTA Grants Officer, 1-800-325-0131 ext. 16, if you have questions about the instructions or application form.

GENERAL INSTRUCTIONS

- Use the enclosed application form. The application form is not to be changed in any way.
- The application will be photocopied for use by the Grant Review Committee. Fill in the library's name at the top of each sheet. The application form and instructions may be photocopied as needed.
- Part III—Program Narrative and Part IV—Budget Narrative are to be typed, single-sided, and <u>double-spaced</u> on plain sheets, with the library's name at the top of each sheet. Attach these narratives to the back of the application form.
- Signatures must be included or the application will be ineligible for consideration.
- Failure to give the required information may eliminate your application from consideration.
- Double-check your math in the budget portion. Proofread the proposal. Correct spelling, grammar, and typing mistakes before submission.
- Use white 8-1/2 x 11" paper. Do not use binders, folders, notebooks, or staples.

ITEMIZED INSTRUCTIONS

Part I—Application Form

- ***Project number***—Leave blank.
- ***Name of library***—Give the official, legal name of the library.
- ***Federal Tax I.D. # or MO Vendor # if different***—Same as Federal Employee Identification Number (FEIN) or Tax Identification Number (TIN). Make sure this is your Missouri Vendor ID number. In some cases, it is different and this is the number we must have to process your application.
- ***Project Director***—Give name of person who will oversee the project and serve as a contact for reports. Include project director's email address and phone number.
- ***Total population of library's legal service area***—Using the latest available census figures, give the population of the legal service area for all participating agencies.
- ***LSTA funds requested***—Show the total amount of grant funds you are requesting. Round to the nearest dollar.
- ***Project Description*** – See instructions in boxed area.

Part II – Eligibility Requirements

Please use this section to review your library's eligibility for this grant. If you have questions about being able to check "yes" in any of the boxes, please contact the State Library consultant *before* completing the remainder of the application.

Part III—Program Narrative

- This is the most important part of your application. Attach additional sheets with your responses. Organize your narrative using the numbers and headings shown in the application. Type the library's name in the upper right-hand corner of each additional sheet. Add page numbers. Paperclip sheets to application form. Do not use binders, folders, notebooks, or staples. Type and double-space.

- Paperclip any support materials to back of application, after signature page. If you are working with a community partner, attach a letter explaining the resources provided by that partner to your project. A letter must be included for each partner.

Part IV—Budget Worksheet and Budget Narrative

- Complete the Budget Worksheet with the quantity and actual unit cost of items you intend to purchase. Round to the nearest whole dollar.
- Be sure that the narrative section includes an expanded description for every line item in the budget worksheet
- **Please e-mail a copy of the budget saved in spreadsheet or other tabular format to:** Carl.Wingo@sos.mo.gov.

Part V—Certification and Signatures

Signature of Library Director—The application must be signed by the administrative head of the library, i.e., the library director, or other administrator, **in blue ink.**

Signature of Library Board President—The library board president must sign the application form, **in blue ink**. This individual must have the authority to sign legal binding agreements. A signature and date on these lines indicate that the library board understands and approves the intent of the grant and will allow the designated project director to oversee the project.

Application Review

Grant application rubric will be used for grant review. These are the topics that will be used to determine if the grant application meets the criteria required for the grant to be awarded. Use this as a check to verify that you are submitting a qualified application.

	Inadequate	Needs Correcting	Clarification Needed	Complete
Application identifies a specific audience				
Project addresses the identified need(s) of audience				
Application demonstrates strong project plan and manageable timeline				
Appropriate and proactive promotional strategies				
Scope is compliant with guidelines				
Allowable costs				
Budget detailed and justified				
Evaluation/Outcomes measure impact on audience				

Missouri State Library
LSTA Library Technology Enhancement Automation
GRANT APPLICATION FORM
Winter-Spring 2006

Project # _____

State Library use only

Please print (using black ink) or type.
PART I—Application Form

Name of library: _____

Federal Tax I.D. #

Address: _____

City: _____ County: _____ Zip code: _____

Phone: _____ Fax: _____

Library director: _____

Project director (contact person): _____

E-mail address/phone of project director: _____

Project title: _____

Total population of legal service area: _____

LSTA funds requested: $_____
Local funds to be used (optional) $_____
             Total $_____

Project Description (do not exceed this space):

You must use _this sheet_ as page 1 of your application!

Part II—Eligibility Worksheet

Please answer the questions below as thoroughly and concisely as possible. **Any question left unanswered means the application is incomplete and may not be considered for funding.**

LIBRARY INFORMATION

Library's current tax rate (The tax rate established by the library board for the current fiscal year. Libraries supported through city funds should give the tax rate equivalent.) $_____

Amount of library's current operating budget (List the total approved amount, from all sources and for all accounts, under which your library operates.) $_____

Official population of library service area   _____

Total volumes owned: _____

Hours open per week: _____

No. of staff full-time: _____

No. of staff part-time: _____

ELIGIBILITY REQUIREMENTS (indicate yes/no in space in front of each question)

YES   NO

1. Library receives, or is eligible to receive, state aid.

2. Library agrees to file the statistical report form supplied annually by the State Library.

3. Library participates or has applied for participation in the REAL project, or has an Internet connection.

4. Library has funding available to provide the minimum local matches of 25% or 50%.

5. Library agrees to maintain records of expenses as required by the grant and preserve records for audit.

6. Library provides a minimum of 20 hours of service to the community at each service point (excluding bookmobiles).

7. Library has, or will develop, a written technology plan.

8. Library will submit grant application to the State Library by April 5, 2006.

9. The library director <u>and</u> library board president have signed the application form.

Part III—Program Narrative

1. **Describe the advantage over current services** your average user would find if you received this grant. Why do you need an automation system?

2. **Briefly describe the automation planning work** completed by your library so far. (Give descriptions of the proposed project under no. 8, below).

    (A) Describe your planning process: meetings held, other libraries consulted, professional consultants contacted, board involvement, etc.

    (B) List library automation systems you have reviewed, either by site visits to libraries already automated, or by vendor demonstrations.

    (C) List the current number of computers in the library, if any, and the number requested for purchase with these grant funds.

3. **Describe your staff and their ability to complete this project** (include any training, experience, or background they may have that would help with this project).

4. **Describe your library's plans to maintain and provide for upgrades** of the automation system and the database of your collection, following the grant project, with both funding and staff. Describe how you will add and maintain the MARC records in the database: cataloging sources used, staffing allocated to database maintenance, etc.

5. **Give a brief general description of your library's collection**, including your priorities in developing the collection, and how you determined them.

    (A) Describe any special or local interest collections, or significant recent additions to the collection.

    (B) Briefly describe your weeding criteria and schedule.

    (C) Do you have an up-to-date inventory of your holdings?

6. **What is the current status of your library's records?**

    (A) Give an estimate of the percent of records currently in USMARC format.

    (B) What other formats are your records in? (catalog cards, spreadsheet, database, MS-Word file, etc.)

7. What is your average current circulation per day?

8. Project Stages & Timetable

    (A) How you will carry out your project – stages of the project, staff involved in each, etc.

    (B) Projected timetable for project: - give details by month for the entire grant period.

Part IV—Project Budget

Line Item Budget: List your budget using the format shown in the sample budget.
- Give a description and/or specifications and separate costs for each type of item to be purchased. Specification sheets from vendors may be attached following the budget pages.
- If equipment will be distributed among several locations, give locations for each item.

Sample Budget:

	LSTA	Local	Total
Equipment			
Hardware			
4 computer workstations @ $1,200/ea.	$3,600	$1,200	$ 4,800
1 server @ $2,400	$1,800	$600	$2,400
1 barcode scanner @ $1,000	$750	$250	$1,000
3 printers @ $800/ea.	$1,800	$600	$2,400
Cable:			
500 feet Cat5e cable @ $1.00/ft.	$500	$0	$500
Barcodes			
20,000 barcodes @ $0.35/ea.	$7,000		$7,000
Contractual			
Software			
Online public access catalog module	$15,000	$0	$15,000
Cataloging module	$15,000	$0	$15,000
Circulation module	$25,000	$0	$25,000
Training			
3 days on-site training on automated library system @ $1,000/day	$2,250	$750	$3,000
TOTALS	**$72,700**	**$3,400**	**$76,100**

Budget Worksheet

Library Name:					
Project Name:					
Budget Category	Item Description	Basis of Cost	LSTA Funds	Local Funds	Total Funds
Salaries/Wages					
Travel					
Supplies					
Equipment					
Contractual					
Totals			$	$	$

Budget Narrative
The Budget Narrative is a clearly defined break down of all cost mentioned on the grants budget page. Explain, in narrative form, each line item in the budget worksheet. Show that these expenditures are clearly related to your project. Computers must meet or exceed the minimum specifications listed on the Missouri State Library Grants Web page. Give brand name, model number, specifications, number requested, and cost for each piece of equipment requested. Applications that do not include **complete specifications** for computer equipment will **not** be considered for funding. If requesting funds for equipment, include the specifications and unit price of each piece. All requests for project equipment must be project specific, appropriate to the project, and justified. Provide valid explanations for why equipment already owned by the library cannot be used. Requests for staff costs must include justification for additional staff hours, the rate at which staff will be paid, and the total number of hours staff will work. Provide explanations for both federal and local funds.
Libraries awarded project funds will have the authority to move up to $300 between line items within their final proposed budgets.

The TOTAL LSTA FUNDS REQUESTED amount should match the amount of LSTA funds requested line in PART I.

Part V—Certification and Signatures

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying library. By signing this application, the Library Board acknowledges compliance with and agreement to all eligibility requirements.

_____   _____
Printed name of Library Director   Printed name of Library Board President

_____   _____
Signature, Library Director   Signature, Library Board President

_____   _____
Date   Date

Mail completed application forms to:

Diana Very, Library Consultant/LSTA Grants Officer
LSTA Grant Application
Missouri State Library
600 West Main Street, P.O. Box 387
Jefferson City MO 65101-0387

Application must be postmarked by: October 5, 2006

For State Library use only:
_____Approved   _____ Not approved $_____Amount Awarded

INSTITUTE of
Museum and Library
SERVICES